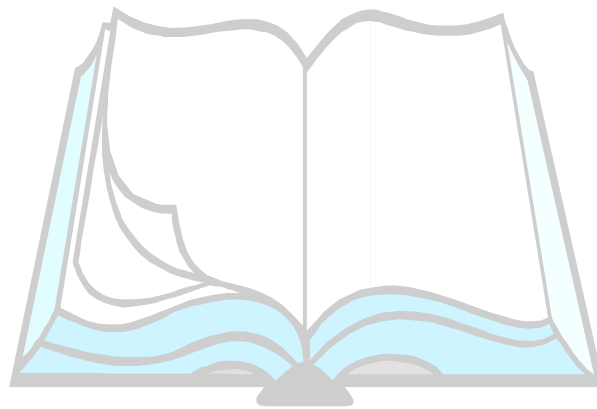




**U.S. Department of Education
Office of Elementary and Secondary Education
Reading Excellence Program
Washington, D.C. 20202-6200**

Reading Excellence Act Fiscal Year 1999 Application for Grants



**CFDA Number 84.338
Form Approved
OMB No. 1810-0616
Expiration Date: 09/30/1999**

**DATED MATERIAL-OPEN IMMEDIATELY
Closing Date: May 7, 1999**

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Note: Copies of most of the forms listed above are available at the U.S. Department of Education's website at <http://ocfo.ed.gov/grntinfo/appforms.htm>.

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1. Letter from Acting Assistant Secretary Judith Johnson



**UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
THE ASSISTANT SECRETARY**

Dear Applicant:

Thank you for your interest in the new Reading Excellence Program. The Reading Excellence Act amends Title II of the Elementary and Secondary Education Act of 1965 by adding a reading component. A copy of the legislation is included.

The reading Excellence Act will enable State educational agencies to make competitive subgrants to local educational agencies to fund local reading improvement activities and tutorial assistance activities. The four primary activities to be supported are: (1) professional development; (2) tutoring; (3) family literacy; and (4) transition programs for kindergarten students. The Reading Excellence Act places an emphasis on the importance of scientifically based reading research, including findings related to phonemic awareness, systematic phonics, fluency, reading comprehension, and motivation. States must have a reading and literacy partnership to be eligible for a grant.

Included in this application booklet are the instructions and forms needed to submit a complete application to the U. S. Department of Education. This booklet also includes information on funding available in FY 1999 school year, the selection criteria that will be used to evaluate applications, and a copy of the Notice Inviting Applications and Establishing Requirements for New Awards, which provides important information regarding the FY 1999 grant competitions.

For more information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's electronic bulletin board and new ED-NET service. The bulletin board data number is (800) 222-4922 (modem access), and the ED-Net service can be accessed on the Internet at www.ed.gov.

We look forward to receiving your application and appreciate your efforts to promote reading excellence in America.

Sincerely,

**Judith Johnson
Acting Assistant Secretary**

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2. Federal Register Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.338)

Agency: Department of Education

Reading Excellence Program

Action: Notice Inviting Applications and Establishing Requirements for New Awards for Fiscal Year (FY) 1999

PURPOSE OF PROGRAM: The Reading Excellence Program provides competitive reading and literacy grants to eligible State educational agencies (SEAs). SEAs, in turn, will award competitive subgrants to local educational agencies (LEAs) to fund local reading improvement programs and tutorial assistance programs.

BACKGROUND: The Reading Excellence Act (REA), Part C, Title II of the Elementary and Secondary Education Act of 1965 (ESEA), was enacted as Title VIII of the Labor-HHS-ED Appropriations Act of 1999 by Section 101(f) of P. L. 105-277, the Omnibus Appropriations Act of FY 1999. Section 2253 of the REA authorizes a Reading and Literacy Grant Program to SEAs. Grants are to be awarded on a competitive basis to eligible SEAs, which in turn will make competitive subgrants to LEAs for two types of programs: Local Reading Improvement subgrants and Tutorial Assistance subgrants.

The purposes of the program are: (1) to provide children with the readiness skills they need to learn to read once they enter school; (2) to teach every child to read in the child's early childhood years —(a) as soon as the child is ready to read; or (b) as soon as possible once the child enters school, but not later than the third grade; (3) to improve the reading skills of students, and the instructional practices for current teachers (and, as appropriate, other instructional staff) who teach reading, through the use of findings from scientifically based reading research, including findings relating to phonemic awareness, systematic phonics, fluency, and reading comprehension; (4) to expand the number of high-quality family literacy programs; and (5) to provide early literacy intervention to children who are experiencing reading difficulties in order to reduce the number of children who are incorrectly identified as a child with a disability and inappropriately referred to special education.

Each SEA that receives funds must award subgrants on a competitive basis to eligible LEAs under two programs: Local Reading Improvement and Tutorial Assistance.

To be eligible for a Local Reading Improvement subgrant, an LEA must: (a) have at least one school that is identified for school improvement under section 1116(c) of ESEA in the geographic area served by the agency; (b) have the largest or second largest number of children who are counted under section 1124(c) of ESEA, in comparison to all other LEAs in the State; or (c) have the highest or second highest school-age child poverty rate, in comparison to all other LEAs in the State.

To be eligible for a Tutorial Assistance subgrant, an LEA must meet one of the three conditions listed for Local Reading Improvement subgrants or have at least one school in the geographic area served by the agency that (i) is located in an area designated as an empowerment zone under part I of sub-chapter U of chapter 1 of the Internal Revenue Code of 1986; or (ii) is located in an area designated as an enterprise community under the same part.

ELIGIBLE APPLICANTS: SEAs of each of the 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible to apply for a grant.

APPLICATION AVAILABLE: March 31, 1999.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: July 6, 1999.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: May 7, 1999.

NOTE: Applications must be submitted on or before May 7, 1999, to be considered for funding. An application for an award may be submitted by electronic mail (email), regular mail, or hand delivery. Applications may not be faxed. The following are accepted for proof of submittal: (1) a legibly dated U.S. Postal Service postmark; (2) a legible mail receipt with the date of mailing stamped by the U.S. Postal Service; (3) a dated shipping label, invoice, or receipt from a commercial carrier; (4) an electronic return receipt (for emailed applications); or (5) any other proof of mailing acceptable to the Secretary.

Special instructions for applications submitted by email: Applications submitted by email should include an electronic return receipt and should be mailed to grantspolicy@ed.gov. Applications submitted by email may be submitted in one of the following formats: (1) Microsoft Word (Version Word 95 or Word 97) or (2) portable document format (PDF). The preferred version is Word 97; however, all versions must have text search capability. The electronic version will be the official file copy. To ensure the integrity of the program, the Department will return a printed version to the applicant. The returned receipt and copy will be considered proof of receipt. All forms requiring original signatures (ED-424, Application for Federal Education Assistance; SF 424B, Assurances: Non-Construction Programs; ED 80-0013, Certifications Regarding Lobbying, Debarment, Suspension and other Responsibility Matters; and Drug-Free Workplace Requirements; ED 80-0014, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions; and Form LLL, Disclosure of Lobbying Activities) must be mailed to the Department by the deadline date, as set out above under Deadline for Transmittal.

AVAILABLE FUNDS: \$241,100,000.

ESTIMATED RANGE OF AWARDS: \$200,000 - \$30,000,000 per award.

MINIMUM GRANT AWARD FOR SEAs RECEIVING A GRANT: \$500,000 for SEAs; \$100,000 minimum for territories.

ESTIMATED AVERAGE SIZE OF AWARDS: \$11,500,000.

ESTIMATED NUMBER OF AWARDS: 22.

NOTE: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 36 months.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 75, 77, 79, 80, 81, 82, 85, and 86; and (b) 34 CFR Part 299, General Provisions governing Titles I through XIII of ESEA.

WAIVER OF PROPOSED RULEMAKING: In accordance with the Administrative Procedure Act (5 U.S.C. 553), it is the practice of the Secretary to offer interested parties the opportunity to comment on proposed regulations. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, exempts from this requirement rules that apply to the first competition under a new or substantially revised program. The Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forgo public comment on an absolute priority and a requirement in order to ensure the timely award of funds. The Secretary issues an absolute priority elsewhere in this notice and establishes the following requirement: the SEA must submit with its application the proposed LEA subgrant application(s) and a description of the procedures, including review criteria, the SEA will use to award subgrants; the LEA application(s) and description will be reviewed as part of the State application by the peer review panel. This requirement will apply only to the competition for FY 1999 funds.

ABSOLUTE PRIORITY: Under 34 CFR 75.105(c)(3) of EDGAR, the Secretary has the authority to establish an absolute priority for applications under programs administered by the Department. For all funds to be awarded under this competition, the Secretary establishes an absolute priority to applicants that propose projects that exclusively fund, at the subgrant level, activities to improve elementary school reading instruction and related early childhood, professional development, family literacy, and tutorial assistance activities. To qualify for this priority, States could not fund, at the subgrant level, any activities for middle schools or high schools. Under this competition, the Secretary will consider for funding only those applications that meet this absolute priority.

COMPETITIVE PRIORITY: Section 2253(c)(2)(C) of the Reading Excellence Act requires that priority shall be given to applications from SEAs whose States have modified, are modifying, or provide an assurance that they will modify within 18 months after receiving an REA grant the SEA's elementary school teacher certification requirements. The modification must increase the training and the methods of teaching reading required for certification as an elementary school teacher to reflect scientifically based reading research. However, nothing in the REA shall be construed to establish a national system of teacher certification.

Under 34 CFR 75.105(b)(2)(iv) and (c)(2), respectively, the Secretary is not required to seek public comment on a specific priority set out in the statute and can implement that priority as a competitive preference. The Secretary will award 10 additional points to applicants that meet the REA competitive priority.

SELECTION CRITERIA: Under 34 CFR 75.210, the Secretary has chosen the following selection criteria. The maximum possible score for each criterion is indicated in parentheses with the criterion. The Secretary awards up to 100 points for all criteria. In addition, an applicant may be awarded 10 additional points under the Competitive Priority announced in this notice.

(a) Significance (10 points). (1) The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factor:

(i) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

(b) Quality of project design (30 points). (1) The Secretary considers the quality of the design of the proposed project. (2) In determining the quality of the proposed project design, the Secretary considers the following factors:

(i) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.

(ii) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

- (iii) The extent to which the proposed project is based upon a specific research design, and the quality and appropriateness of that design, including the scientific rigor of the studies involved.
- (iv) The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.
- (v) The extent to which the proposed project encourages parental involvement.

(c) ***Quality of project services (35 points)***. (1) The Secretary considers the quality of the services to be provided by the proposed project. (2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (3) In addition, the Secretary considers the following:

- (i) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
- (ii) The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of technology, as appropriate, and the leveraging of non-project resources.
- (iii) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.
- (iv) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.
- (v) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(d) ***Adequacy of resources (10 points)***. (1) The Secretary considers the adequacy of resources for the proposed project. (2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factor:

- (i) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(e) ***Quality of the management plan (5 points)***. (1) The Secretary considers the quality of the management plan for the proposed project. (2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factor:

- (i) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

(f) ***Quality of the project evaluation (10 points)***. (1) The Secretary considers the quality of the evaluation to be conducted of the proposed project. (2) In determining the quality of the evaluation, the Secretary considers the following factors:

- (i) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- (ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

INTERGOVERNMENTAL REVIEW. The Reading and Excellence Act in this notice is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. The objective of the Executive order is to foster an intergovernmental partnership and a strengthened federalism by relying on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

In accordance with the order, this document is intended to provide early notification of the Department's specific plans and actions for this program.

FOR APPLICATIONS OR INFORMATION, CONTACT: To request an application or to obtain further information about the competition, contact Dr. Joseph Conaty, U.S. Department of Education, 400 Maryland Avenue, SW, Room 5C141, Washington, DC 20202-6200; call (202) 260-8228; or email reading_excellence@ed.gov.

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern time, Monday through Friday.

Individuals with disabilities may obtain this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) by contacting Katie Mincey, Director, Alternate Format Center, 330 C St. SW, Room 1000, Washington, DC 20202-4560; by calling (202) 260-9895 or 205-8113; or by emailing katie_mincey@ed.gov. Individuals with disabilities also may obtain a copy of the application package in an alternate format by contacting Ms. Mincey. However, the Department is not able to reproduce in an alternate format the standard forms included in the application package.

Electronic Access to This Document:

Anyone may view this document, as well as all other Department of Education documents published in the **Federal Register**, in text or portable document format (PDF) on the World Wide Web at the following site:

<http://ocfo.ed.gov/fedreg.htm>

To use the PDF version you must have the Adobe Acrobat Reader program, which is available free by going through the previous site. If you have questions about using PDF, call the U.S. Government Printing office at (202) 512-1530 or toll free at 1-888-293-6498.

Anyone may view these documents in text copy only on an electronic bulletin board of the Department. Telephone: (202) 219-1511 or, toll free, 1-800-222-4922. The documents are located under Option G - Files/Announcements, Bulletins and Press Releases.

NOTE: The official version of this document is the document published in the Federal Register.

ELECTRONIC SUBMISSION OF APPLICATIONS: Applications for this grant may be submitted by email, regular mail, or hand delivery. Electronic submission is the preferred method of submission. To ensure application integrity, a printed version of all electronic submissions will be returned to applicants.

PROGRAM AUTHORITY: Reading Excellence Act, Part C, Title II of ESEA, was enacted as Title VIII of the Labor-HHS-ED Appropriations Act of 1999 by Section 101(f) of P.L. 105-277, the Omnibus Appropriations Act of FY 1999.

Dated: March 30, 1999.

Judith Johnson
Acting Assistant Secretary
Elementary and Secondary Education

[FR Dec. 99-8278 Filed 3-31-99; 3:27 p.m.]

3. Application Transmittal Instructions

An application for an award may be submitted by electronic mail (email), regular mail, or hand-delivered by the closing date. The preferred form of submission is by email. Applications may not be faxed.

Applications Sent Electronically

Emailed part of application. Applications submitted by email should include an electronic return receipt. The address for electronic mailing address is: grantspolicy@ed.gov.

Applications submitted electronically may be submitted in one of the following formats:

1. Microsoft Word (Version Word 95 or Word 97)
2. PDF (Adobe Acrobat)

The preferred version is Word 97; however, all versions must have text search capability.

The electronic version will be the official file copy. To ensure the integrity of the program, the Department will return a printed version to the applicant. The returned receipt and copy will be considered proof of receipt.

Mailed or delivered part of application. The following forms, with original signatures, must be mailed to the Department:

1. Cover page (SF 424)
2. Assurances and Certifications
 - (a) Assurances- Non-Construction Programs (SF 424B)
 - (b) Certifications regarding Lobbying; Debarment; Suspension and Other Responsibility Matter; and Drug-Free Workplace Requirements (ED 80-0013)
 - (c) Certification Regarding Debarment, Suspension, Ineligibility & Voluntary Exclusion – Lower Tier Covered Transaction (ED 80-0014)
 - (d) Disclosure of Lobbying Activity (Form LLL)

See instructions below for proof of mailing.

Applications Sent by Mail

Hard copy applications or, for electronic submission, forms with original signatures (the original and two copies) must be mailed to: the U.S. Department of Education, Application Control Center, Attention: CFDA 84.338. (Be sure to include the correct alpha and numeric description, e.g. 84-338, 400 Maryland Avenue, S.W. Washington, DC 20202-4725.

An application or forms with original signatures (for electronic submissions) must show proof of mailing consisting of one of the following:

1. A legible dated U.S. Postal Service Postmark.
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
3. A dated shipping label, invoice, or receipt from a commercial carrier.
4. Any other proof of mailing acceptable to the U.S. Secretary of Education.

If the documents are sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

1. A private metered postmark, or

2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail. Each late applicant will be notified that its application will not be considered.

Applications Delivered by Hand/Courier Service

An application or forms with original signatures that are hand delivered must be taken to the U.S. Department of Education, Coordination and Control Branch, Room 3633, General Services Administration National Capital Region, 7th and D Streets, S.W., Washington, D.C. 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Eastern standard time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

4. Intergovernmental Review of Federal Programs

Intergovernmental review applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary
Re: EO 12372
U.S. Department of Education
Room 7W-100
400 Maryland Avenue SW
Washington, DC 20202-0124.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION.

DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS

State Single Points Of Contact

Note: In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact.

Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

The jurisdictions not listed no longer participate in the process. However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc., does not have a State Single Point of Contact.

ARIZONA

Joni Saad
Arizona State Clearinghouse
3800 N. Central Avenue
Fourteenth Floor
Phoenix, AZ 85012
Telephone: (602) 280-1315
Fax: (602) 280-8144

ARKANSAS

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th Street, Room 412
Little Rock, AR 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206

CALIFORNIA

Grants Coordinator
Office of Planning & Research
1600 Ninth Street, Room 250
Sacramento, CA 95814
Telephone: (916) 323-7480
Fax: (916) 323-3018

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Office of the Budget
Thomas Collins Building
P.O. Box 1401
Dover, DE 19903
Telephone: (302) 739-3326
Fax: (302) 739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Development.
717 14th Street, NW - Suite 400
Washington, DC 20005
Telephone: (202) 727-6554
Fax: (202) 727-1617

FLORIDA

Florida State Clearinghouse
Department of Community Affairs
22740 Centerview Drive
Tallahassee, FL 32399-2100
Telephone: (904) 922-5438
Fax: (904) 487-2899

GEORGIA

Tom L. Reid, III
Coordinator
Georgia State Clearinghouse
270 Washington Street, S.W. - 8th Floor
Atlanta, GA 30334
Telephone: (404) 656-3855
Fax: (404) 656-3828

ILLINOIS

Ms. Virginia Bova, Single Point of Contact
Illinois Department of Commerce and
Community Affairs
James R. Thompson Center
100 West Randolph, Suite 3-400
Chicago, IL 60601
Telephone: (312) 814-6028
Fax: (312) 814-1800

INDIANA

Frances Williams
State Budget Agency
212 State House
Indianapolis, IN 46204-2796
Telephone: (317) 232-5619
Fax: (317) 233-3323

IOWA

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic
Development
200 East Grand Avenue
Des Moines, IA 50309
Telephone: (515) 242-4719
Fax: (515) 242-4809

KENTUCKY

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive - Suite 340
Frankfort, KY 40601-8204
Telephone: (502) 573-2382
Fax: (502) 573-2512

MAINE

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
Telephone: (207) 287-3261
Fax: (207) 287-6489

MARYLAND

William G. Carroll
Manager, Plan & Project Review
Maryland Office of Planning
301 W. Preston Street - Room 1104
Baltimore, MD 21201-2365
Staff Contact: Linda Janey
Telephone: (410) 767-4490
Fax: (410) 767-4480

MICHIGAN

Richard Pfaff
Southeast Michigan Council of Governments
660 Plaza Drive - Suite 1900
Detroit, MI 48226
Telephone: (313) 961-4266
Fax: (313) 961-4869

MISSISSIPPI

Cathy Mallette
Clearinghouse Officer
Department of Finance and Administration
550 High Street
Jackson, MS 39302-3087
Telephone: (601) 359-6762
Fax: (601) 359-6764

MISSOURI

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Room 760, Truman Building
Jefferson City, MO 65102
Telephone: (314) 751-4834
Fax: (314) 751-7819

NEVADA

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, NV 89710
Telephone: (702) 687-4065
Fax: (702) 687-3983

NEW HAMPSHIRE

Jeffrey H. Taylor
Director, New Hampshire Office of State
Planning
Attn: Intergovernmental Review Process
Mike Blake
2 ½ Beacon Street
Concord, NH 03301
Telephone: (603) 271-2155
Fax: (603) 271-1728

NEW MEXICO

Robert Peters
State Budget Division
Room 190 Bataan Memorial Building
Santa Fe, NM 87503
Telephone: (505) 827-3640

NEW YORK

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, NY 12224
Telephone: (518) 474-1605
Fax: (518) 486-5617

NORTH CAROLINA

Chrys Baggett, Director
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street - Suite 5106
Raleigh, NC 27603-8003
Telephone: (919) 733-7232
Fax: (919) 733-9571

NORTH DAKOTA

North Dakota Single Point of Contact
Office of Intergovernmental Assistance
600 East Boulevard Avenue
Bismarck, ND 58505-0170
Telephone: (701) 224-2094
Fax: (701) 224-2308

RHODE ISLAND

Kevin Nelson
Review Coordinator
Department of Administration
Division of Planning
One Capitol Hill, 4th Floor
Providence, RI 02908-5870
Telephone: (401) 277-2656
Fax: (401) 277-2083

SOUTH CAROLINA

Rodney Grizzle
State Single Point of Contact
Grant Services
Office of the Governor
1205 Pendleton Street - Room 331
Columbia, SC 29201
Telephone: (803) 734-0494
Fax: (803) 734-0356

TEXAS

Tom Adams
Governors Office
Director, Intergovernmental Coordination
P.O. Box 12428
Austin, TX 78711
Telephone: (512) 463-1771
Fax: (512) 463-1880

UTAH

Carolyn Wright
Utah State Clearinghouse
Office of Planning and Budget
Room 116, State Capitol
Salt Lake City, UT 84114
Telephone: (801) 538-1535
Fax: (801) 538-1547

WEST VIRGINIA

Fred Cutlip, Director
Community Development Division
W. Virginia Development Office
Building #6, Room 553
Charleston, WV 25305
Telephone: (304) 558-4010
Fax: (304) 558-3248

WISCONSIN

Jeff Smith
Section Chief, State/Federal Relations
Wisconsin Department of Administration
101 East Wilson Street - 6th Floor P.O. Box
7868
Madison, WI 53707
Telephone: (608) 266-0267
Fax: (608) 267-6931

WYOMING

Matthew Jones
State Single Point of Contact
Office of the Governor
200 West 24th Street
State Capitol, Room 124
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Note: This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to Donna Rivelli (telephone 202 395-5858) at the Office of Management and Budget and to the State in question. Changes to the list will only be made upon formal notification by the State. The list is also published biannually in the Catalog of Federal Domestic Assistance.

5. Federal Legislation: Reading Excellence Act (P.L.105-277)

P.L.105-277, the Omnibus Consolidated and Emergency Supplemental Appropriations Act, was signed into law on October 21, 1998. It amended the Elementary and Secondary Education Act of 1965 to add the Reading Excellence Act in Title II as Part C, as provided below.

TITLE VIII—READING EXCELLENCE ACT

Subtitle I—Reading and Literacy Grants

SEC. 101. AMENDMENT TO ESEA FOR READING AND LITERACY GRANTS.

- (a) IN GENERAL.—Title II of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6601 et seq.) is amended—
- (1) by redesignating parts C and D as parts D and E, respectively; and
 - (2) by inserting after part B the following:

“PART C—READING AND LITERACY GRANTS

“SEC. 2251. PURPOSES.

“The purposes of this part are as follows:

- “(1) To provide children with the readiness skills they need to learn to read once they enter school.
- “(2) To teach every child to read in the child’s early childhood years—
 - “(A) as soon as the child is ready to read; or
 - “(B) as soon as possible once the child enters school, but not later than 3d grade.
- “(3) To improve the reading skills of students, and the instructional practices for current teachers (and, as appropriate, other instructional staff) who teach reading, through the use of findings from scientifically based reading research, including findings relating to phonemic awareness, systematic phonics, fluency, and reading comprehension.
- “(4) To expand the number of high-quality family literacy programs.
- “(5) To provide early literacy intervention to children who are experiencing reading difficulties in order to reduce the number of children who are incorrectly identified as a child with a disability and inappropriately referred to special education.

“SEC. 2252. DEFINITIONS.

“For purposes of this part:

“(1) **ELIGIBLE PROFESSIONAL DEVELOPMENT PROVIDER.**—The term ‘eligible professional development provider’ means a provider of professional development in reading instruction to teachers that is based on scientifically based reading research.

“(2) **FAMILY LITERACY SERVICES.**—The term ‘family literacy services’ means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- “(A) Interactive literacy activities between parents and their children.
- “(B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
- “(C) Parent literacy training that leads to economic self-sufficiency.
- “(D) An age-appropriate education to prepare children for success in school and life experiences.

“(3) **INSTRUCTIONAL STAFF.**—The term ‘instructional staff’—

- “(A) means individuals who have responsibility for teaching children to read; and
- “(B) includes principals, teachers, supervisors of instruction, librarians, library school media specialists, teachers of academic subjects other than reading, and other individuals who have responsibility for assisting children to learn to read.

“(4) **READING.**—The term ‘reading’ means a complex system of deriving meaning from print that requires all of the following:

- “(A) The skills and knowledge to understand how phonemes, or speech sounds, are connected to print.
- “(B) The ability to decode unfamiliar words.
- “(C) The ability to read fluently.
- “(D) Sufficient background information and vocabulary to foster reading comprehension.
- “(E) The development of appropriate active strategies to construct meaning from print.
- “(F) The development and maintenance of a motivation to read.

“(5) **SCIENTIFICALLY BASED READING RESEARCH.**—The term ‘scientifically based reading research’—

- “(A) means the application of rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

“(B) shall include research that—

“(i) employs systematic, empirical methods that draw on observation or experiment;

“(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

“(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and

“(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

“SEC. 2253. READING AND LITERACY GRANTS TO STATE EDUCATIONAL AGENCIES.

“(a) PROGRAM AUTHORIZED.—

“(1) IN GENERAL.—Subject to the provisions of this part, the Secretary shall award grants to State educational agencies to carry out the reading and literacy activities authorized under this section and sections 2254 through 2256.

“(2) LIMITATIONS.—

“(A) SINGLE GRANT PER STATE.—A State educational agency may not receive more than one grant under paragraph (1).

“(B) 3-YEAR TERM.—A State educational agency that receives a grant under paragraph (1) may expend the funds provided under the grant only during the 3-year period beginning on the date on which the grant is made.

“(b) APPLICATION.—

“(1) IN GENERAL.—A State educational agency that desires to receive a grant under this part shall submit an application to the Secretary at such time and in such form as the Secretary may require. The application shall contain the information described in paragraph (2).

“(2) CONTENTS.—An application under this sub-section shall contain the following:

“(A) An assurance that the Governor of the State, in consultation with the State educational agency, has established a reading and literacy partnership described in subsection (d), and a description of how such partnership—

“(i) assisted in the development of the State plan;

“(ii) will be involved in advising on the selection of subgrantees under sections 2255 and 2256; and

“(iii) will assist in the oversight and evaluation of such subgrantees.

“(B) A description of the following:

“(i) How the State educational agency will ensure that professional development activities related to reading instruction and provided under this part are—“(I) coordinated with other State and local level funds and used effectively to improve instructional practices for reading; and “(II) based on scientifically based reading research.

“(ii) How the activities assisted under this part will address the needs of teachers and other instructional staff, and will effectively teach students to read, in schools receiving assistance under section 2255 and 2256.

“(iii) The extent to which the activities will prepare teachers in all the major components of reading instruction (including phonemic awareness, systematic phonics, fluency, and reading comprehension).

“(iv) How the State educational agency will use technology to enhance reading and literacy professional development activities for teachers, as appropriate.

“(v) How parents can participate in literacy-related activities assisted under this part to enhance their children’s reading.

“(vi) How subgrants made by the State educational agency under sections 2255 and 2256 will meet the requirements of this part, including how the State educational agency will ensure that subgrantees will use practices based on scientifically based reading research.

“(vii) How the State educational agency will, to the extent practicable, make grants to subgrantees in both rural and urban areas.

“(viii) The process that the State used to establish the reading and literacy partnership described in subsection (d).

“(C) An assurance that each local educational agency to which the State educational agency makes a subgrant—

“(i) will provide professional development for the classroom teacher and other appropriate instructional staff on the teaching of reading based on scientifically based reading research;

“(ii) will provide family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child’s first and most important teacher;

“(iii) will carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and

“(iv) will use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during noninstructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading.

“(D) An assurance that instruction in reading will be provided to children with reading difficulties who—

“(i) are at risk of being referred to special education based on these difficulties; or

“(ii) have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act).

- “(E) A description of how the State educational agency—
- “(i) will build on, and promote coordination among, literacy programs in the State (including federally funded programs such as the Adult Education and Family Literacy Act and the Individuals with Disabilities Education Act), in order to increase the effectiveness of the programs in improving reading for adults and children and to avoid duplication of the efforts of the programs;
 - “(ii) will promote reading and library programs that provide access to engaging reading material;
 - “(iii) will make local educational agencies described in sections 2255(a)(1) and 2256(a)(1) aware of the availability of subgrants under sections 2255 and 2256; and
 - “(iv) will assess and evaluate, on a regular basis, local educational agency activities assisted under this part, with respect to whether they have been effective in achieving the purposes of this part.
- “(F) A description of the evaluation instrument the State educational agency will use for purposes of the assessments and evaluations under subparagraph (E)(iv).
- “(c) APPROVAL OF APPLICATIONS.—
- “(1) IN GENERAL.—The Secretary shall approve an application of a State educational agency under this section only—
- “(A) if such application meets the requirement of this section; and
 - “(B) after taking into account the extent to which the application furthers the purposes of this part and the overall quality of the application.
- “(2) PEER REVIEW.—
- “(A) IN GENERAL.—The Secretary, in consultation with the National Institute for Literacy, shall convene a panel to evaluate applications under this section. At a minimum, the panel shall include—
 - “(i) representatives of the National Institute for Literacy, the National Research Council of the National Academy of Sciences, and the National Institute of Child Health and Human Development;
 - “(ii) 3 individuals selected by the Secretary;
 - “(iii) 3 individuals selected by the National Institute for Literacy;
 - “(iv) 3 individuals selected by the National Research Council of the National Academy of Sciences; and
 - “(v) 3 individuals selected by the National Institute of Child Health and Human Development.
 - “(B) EXPERTS.—The panel shall include experts who are competent, by virtue of their training, expertise, or experience, to evaluate applications under this section, and experts who provide professional development to teachers of reading to children and adults, and experts who provide professional development to other instructional staff, based on scientifically based reading research.
 - “(C) PRIORITY.—The panel shall recommend grant applications from State educational agencies under this section to the Secretary for funding or for disapproval. In making such recommendations, the panel shall give priority to applications from State educational agencies whose States have modified, are modifying, or provide an assurance that not later than 18 months after receiving a grant under this section the State educational agencies will increase the training and the methods of teaching reading required for certification as an elementary school teacher to reflect scientifically based reading research, except that nothing in this Act shall be construed to establish a national system of teacher certification.
 - “(D) MINIMUM GRANT AMOUNTS.—
 - “(i) STATES.—Each State educational agency selected to receive a grant under this section shall receive an amount for the grant period that is not less than \$500,000.
 - “(ii) OUTLYING AREAS.—The Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands selected to receive a grant under this section shall receive an amount for the grant period that is not less than \$100,000.
 - “(E) LIMITATION.—The Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau shall not be eligible to receive a grant under this part.
- “(d) READING AND LITERACY PARTNERSHIPS.—
- “(1) REQUIRED PARTICIPANTS.—In order for a State educational agency to receive a grant under this section, the Governor of the State, in consultation with the State educational agency, shall establish a reading and literacy partnership consisting of at least the following participants:
- “(A) The Governor of the State.
 - “(B) The chief State school officer.
 - “(C) The chairman and the ranking member of each committee of the State legislature that is responsible for education policy.
 - “(D) A representative, selected jointly by the Governor and the chief State school officer, of at least one local educational agency that is eligible to receive a subgrant under section 2255.
 - “(E) A representative, selected jointly by the Governor and the chief State school officer, of a community-based organization working with children to improve their reading skills, particularly a community-based organization using tutors and scientifically based reading research.
 - “(F) State directors of appropriate Federal or State programs with a strong reading component.
 - “(G) A parent of a public or private school student or a parent who educates their child or children in their home, selected jointly by the Governor and the chief State school officer.

“(H) A teacher who successfully teaches reading and an instructional staff member, selected jointly by the Governor and the chief State school officer.

“(I) A family literacy service provider selected jointly by the Governor and the chief state school officer.

“(2) OPTIONAL PARTICIPANTS.—A reading and literacy partnership may include additional participants, who shall be selected jointly by the Governor and the chief State school officer, and who may include a representative of—

“(A) an institution of higher education operating a program of teacher preparation based on scientifically based reading research in the State;

“(B) a local educational agency;

“(C) a private nonprofit or for-profit eligible professional development provider providing instruction based on scientifically based reading research;

“(D) an adult education provider;

“(E) a volunteer organization that is involved in reading programs; or

“(F) a school library or a public library that offers reading or literacy programs for children or families.

“(3) PREEXISTING PARTNERSHIP.—If, before the date of the enactment of the Reading Excellence Act, a State established a consortium, partnership, or any other similar body, that includes the Governor and the chief State school officer and has, as a central part of its mission, the promotion of literacy for children in their early childhood years through the 3d grade and family literacy services, but that does not satisfy the requirements of paragraph (1), the State may elect to treat that consortium, partnership, or body as the reading and literacy partnership for the State notwithstanding such paragraph, and it shall be considered a reading and literacy partnership for purposes of the other provisions of this part.

“SEC. 2254. USE OF AMOUNTS BY STATE EDUCATIONAL AGENCIES.

“A State educational agency that receives a grant under section 2253—

“(1) shall use not more than 5 percent of the funds made available under the grant for the administrative costs of carrying out this part (excluding section 2256), of which not more than 2 percent may be used to carry out section 2259; and

“(2) shall use not more than 15 percent of the funds made available under the grant to solicit applications for, award, and oversee the performance of, not less than one subgrant pursuant to section 2256.

“SEC. 2255. LOCAL READING IMPROVEMENT SUBGRANTS.

“(a) IN GENERAL.—

“(1) SUBGRANTS.—A State educational agency that receives a grant under section 2253 shall make subgrants, on a competitive basis, to local educational agencies that either—

“(A) have at least one school that is identified for school improvement under section 1116(c) in the geographic area served by the agency;

“(B) have the largest, or second largest, number of children who are counted under section 1124(c), in comparison to all other local educational agencies in the State; or

“(C) have the highest, or second highest, school-age child poverty rate, in comparison to all other local educational agencies in the State.

For purposes of subparagraph (C), the term ‘school-age child poverty rate’ means the number of children counted under section 1124(c) who are living within the geographic boundaries of the local educational agency, expressed as a percentage of the total number of children aged 5-17 years living within the geographic boundaries of the local educational agency.

“(2) SUBGRANT AMOUNT.—A subgrant under this section shall consist of an amount sufficient to enable the subgrant recipient to operate a program for a 2-year period and may not be revoked or terminated on the grounds that a school ceases, during the grant period, to meet the requirements of subparagraph (A), (B), or (C) of paragraph (1).

“(b) APPLICATIONS.—A local educational agency that desires to receive a subgrant under this section shall submit an application to the State educational agency at such time, in such manner, and including such information as the agency may require. The application—

“(1) shall describe how the local educational agency will work with schools selected by the agency to receive assistance under subsection (d)(1)—

“(A) to select one or more programs of reading instruction, developed using scientifically based reading research, to improve reading instruction by all academic teachers for all children in each of the schools selected by the agency under such subsection and, where appropriate, for their parents; and

“(B) to enter into an agreement with a person or entity responsible for the development of each program selected under subparagraph (A), or a person with experience or expertise about the program and its implementation, under which the person or entity agrees to work with the local educational agency and the schools in connection with such implementation and improvement efforts;

“(2) shall include an assurance that the local educational agency—

“(A) will carry out professional development for the classroom teacher and other instructional staff on the teaching of reading based on scientifically based reading research;

“(B) will provide family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child’s first and most important teacher;

- “(C) will carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and
- “(D) will use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during non-instructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading;
- “(3) shall describe how the applicant will ensure that funds available under this part, and funds available for reading instruction for kindergarten through grade 6 from other appropriate sources, are effectively coordinated, and, where appropriate, integrated with funds under this Act in order to improve existing activities in the areas of reading instruction, professional development, program improvement, parental involvement, technical assistance, and other activities that can help meet the purposes of this part;
- “(4) shall describe, if appropriate, how parents, tutors, and early childhood education providers will be assisted by, and participate in, literacy-related activities receiving financial assistance under this part to enhance children’s reading fluency;
- “(5) shall describe how the local educational agency—
- “(A) provides instruction in reading to children with reading difficulties who—
- “(i) are at risk of being referred to special education based on these difficulties; or
- “(ii) have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act); and
- “(B) will promote reading and library programs that provide access to engaging reading material; and
- “(6) shall include an assurance that the local educational agency will make available, upon request and in an understandable and uniform format, to any parent of a student attending any school selected to receive assistance under subsection (d)(1) in the geographic area served by the local educational agency, information regarding the professional qualifications of the student’s classroom teacher to provide instruction in reading.
- “(c) SPECIAL RULE.—To the extent feasible, a local educational agency that desires to receive a grant under this section shall form a partnership with one or more community-based organizations of demonstrated effectiveness in early childhood literacy, and reading readiness, reading instruction, and reading achievement for both adults and children, such as a Head Start program, family literacy program, public library, or adult education program, to carry out the functions described in paragraphs (1) through (6) of subsection (b). In evaluating subgrant applications under this section, a State educational agency shall consider whether the applicant has satisfied the requirement in the preceding sentence. If not, the applicant must provide information on why it would not have been feasible for the applicant to have done so.
- “(d) USE OF FUNDS.—
- “(1) IN GENERAL.—Subject to paragraph (2), a local educational agency that receives a subgrant under this section shall use amounts from the subgrant to carry out activities to advance reform of reading instruction in any school that is (A) described in subsection (a)(1)(A), (B) has the largest, or second largest, number of children who are counted under section 1124(c), in comparison to all other schools in the local educational agency, (C) has the highest, or second highest, school-age child poverty rate (as defined in the second sentence of subsection (a)(1)), in comparison to all other schools in the local educational agency. Such activities shall include the following:
- “(A) Securing technical and other assistance from—
- “(i) a program of reading instruction based on scientifically based reading re-search;
- “(ii) a person or entity with experience or expertise about such program and its implementation, who has agreed to work with the recipient in connection with its implementation; or
- “(iii) a program providing family literacy services.
- “(B) Providing professional development activities to teachers and other instructional staff (including training of tutors), using scientifically based reading research and purchasing of curricular and other supporting materials.
- “(C) Promoting reading and library programs that provide access to engaging reading material.
- “(D) Providing, on a voluntary basis, training to parents of children enrolled in a school selected to receive assistance under subsection (d)(1) on how to help their children with school work, particularly in the development of reading skills. Such training may be provided directly by the subgrant recipient, or through a grant or contract with another person. Such training shall be consistent with reading reforms taking place in the school setting. No parent shall be required to participate in such training.
- “(E) Carrying out family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child’s first and most important teacher.
- “(F) Providing instruction for parents of children enrolled in a school selected to receive assistance under subsection (d)(1), and others who volunteer to be reading tutors for such children, in the instructional practices based on scientifically based reading research used by the applicant.
- “(G) Programs to assist those kindergarten students enrolled in a school selected to receive assistance under subsection (d)(1) who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills.
- “(H) Providing additional support for children preparing to enter kindergarten and students in kindergarten through grade 3 who are enrolled in a school selected to receive assistance under subsection (d)(1), who are experiencing difficulty reading, before school, after school, on weekends, during noninstructional periods of the school day, or during

the summer, using supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research.

“(I) Providing instruction in reading to children with reading difficulties who—

“(i) are at risk of being referred to special education based on these difficulties; or

“(ii) have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act).

“(J) Providing coordination of reading, library, and literacy programs within the local educational agency to avoid duplication and in-crease the effectiveness of reading, library, and literacy activities.

“(2) LIMITATION ON ADMINISTRATIVE EXPENSES.— A recipient of a subgrant under this section may use not more than 5 percent of the subgrant funds for administrative costs.

“(e) TRAINING NONRECIPIENTS.—A recipient of a subgrant under this section may train, on a fee-for-service basis, personnel from schools, or local educational agencies, that are not a beneficiary of, or receiving, such a subgrant, in the instructional practices based on scientifically based reading research used by the recipient. Such a non-recipient school or agency may use funds received under title I of this Act, and other appropriate Federal funds used for reading instruction, to pay for such training, to the extent consistent with the law under which such funds were received.

“SEC. 2256. TUTORIAL ASSISTANCE SUBGRANTS.

“(a) IN GENERAL.—

“(1) SUBGRANTS.—Except as provided in paragraph (4), a State educational agency that receives a grant under section 2253 shall make at least one subgrant on a competitive basis to—

“(A) local educational agencies that have at least one school in the geographic area served by the agency that—

“(i) is located in an area designated as an empowerment zone under part I of sub-chapter U of chapter 1 of the Internal Revenue Code of 1986; or

“(ii) is located in an area designated as an enterprise community under part I of subchapter U of chapter 1 of the Internal Revenue Code of 1986;

“(B) local educational agencies that have at least one school that is identified for school improvement under section 1116(c) in the geographic area served by the agency;

“(C) local educational agencies with the largest, or second largest, number of children who are counted under section 1124(c), in comparison to all other local educational agencies in the State; or

“(D) local educational agencies with the highest, or second highest, school-age child poverty rate, in comparison to all other local educational agencies in the State.

For purposes of subparagraph (D), the term ‘school-age child poverty rate’ means the number of children counted under section 1124(c) who are living within the geographic boundaries of the local educational agency, expressed as a percentage of the total number of children aged 5-17 years living within the geo-graphic boundaries of the local educational agency.

“(2) NOTIFICATION.—

“(A) TO LOCAL EDUCATIONAL AGENCIES.—A State educational agency shall provide notice to all local educational agencies within the State regarding the availability of the subgrants under this section.

“(B) TO PROVIDERS AND PARENTS.—Not later than 30 days after the date on which the State educational agency provides notice under subparagraph (A), each local educational agency described in paragraph (1) shall, as a condition on the agency’s receipt of funds made available under title I of this Act, provide public notice to potential providers of tutorial assistance operating in the jurisdiction of the agency, and parents residing in such jurisdiction, regarding the availability of the subgrants under this section.

“(3) APPLICATION.—A local educational agency that desires to receive a subgrant under this section shall submit an application to the State educational agency at such time, in such manner, and including such information as the agency may require. The application shall include an assurance that the local educational agency will use the subgrant funds to carry out the duties described in subsection (b) for children enrolled in any school selected by the agency that (A) is described in paragraph (1)(A), (B) is described in paragraph (1)(B), (C) has the largest, or second largest, number of children who are counted under section 1124(c), in comparison to all other schools in the local educational agency, or (D) has the highest, or second highest, school-age child poverty rate (as defined in the second sentence of paragraph (1)), in comparison to all other schools in the local educational agency.

“(4) EXCEPTION.—If no local educational agency within the State submits an application to receive a subgrant under this section within the 6-month period beginning on the date on which the State educational agency provided notice to the local educational agencies regarding the availability of the subgrants, the State educational agency may use funds otherwise reserved under 2254(2) for the purpose of providing local reading improvement subgrants under section 2255 if the State educational agency certifies to the Secretary that the requirements of paragraph (2) have been met and each local educational agency in the State described in subparagraph (B) of such paragraph has demonstrated to the State educational agency that no provider of tutorial assistance described in such subparagraph requested the local educational agency to submit under paragraph (3) an application for a tutorial assistance subgrant.

“(b) USE OF FUNDS.—

“(1) IN GENERAL.—A local educational agency that receives a subgrant under this section shall carry out, using the funds provided under the subgrant, each of the duties described in paragraph (2).

“(2) DUTIES.—The duties described in this paragraph are the provision of tutorial assistance in reading, before school, after school, on weekends, or during the summer, to children who have difficulty reading, using instructional practices based on scientifically based reading research, through the following:

“(A) The creation and implementation of objective criteria to determine in a uniform manner the eligibility of tutorial assistance providers and tutorial assistance programs desiring to provide tutorial assistance under the subgrant. Such criteria shall include the following:

“(i) A record of effectiveness with respect to reading readiness, reading instruction for children in kindergarten through 3d grade, and early childhood literacy, as appropriate.

“(ii) Location in a geographic area convenient to the school or schools attended by the children who will be receiving tutorial assistance.

“(iii) The ability to provide tutoring in reading to children who have difficulty reading, using instructional practices based on scientifically based reading research and consistent with the reading instructional methods and content used by the school the child attends.

“(B) The provision, to parents of a child eligible to receive tutorial assistance pursuant to this section, of multiple choices among tutorial assistance providers and tutorial assistance programs determined to be eligible under the criteria described in subparagraph (A). Such choices shall include a school-based program and at least one tutorial assistance program operated by a provider pursuant to a contract with the local educational agency.

“(C) The development of procedures—

“(i) for the provision of information to parents of an eligible child regarding such parents’ choices for tutorial assistance for the child;

“(ii) for considering children for tutorial assistance who are identified under subparagraph (D) and for whom no parent has selected a tutorial assistance provider or tutorial assistance program that give such parents additional opportunities to select a tutorial assistance provider or tutorial assistance program referred to in subparagraph (B); and

“(iii) that permit a local educational agency to recommend a tutorial assistance provider or tutorial assistance program in a case where a parent asks for assistance in the making of such selection.

“(D) The development of a selection process for providing tutorial assistance in accordance with this paragraph that limits the provision of assistance to children identified, by the school the child attends, as having difficulty reading, including difficulty mastering phonemic awareness, systematic phonics, fluency, and reading comprehension.

“(E) The development of procedures for selecting children to receive tutorial assistance, to be used in cases where insufficient funds are available to provide assistance with respect to all children identified by a school under subparagraph (D), that—

“(i) give priority to children who are determined, through State or local reading assessments, to be most in need of tutorial assistance; and

“(ii) give priority, in cases where children are determined, through State or local reading assessments, to be equally in need of tutorial assistance, based on a random selection principle.

“(F) The development of a methodology by which payments are made directly to tutorial assistance providers who are identified and selected pursuant to this section and selected for funding. Such methodology shall include the making of a contract, consistent with State and local law, between the provider and the local educational agency. Such contract shall satisfy the following requirements:

“(i) It shall contain specific goals and timetables with respect to the performance of the tutorial assistance provider.

“(ii) It shall require the tutorial assistance provider to report to the local educational agency on the provider’s performance in meeting such goals and timetables.

“(iii) It shall specify the measurement techniques that will be used to evaluate the performance of the provider.

“(iv) It shall require the provider to meet all applicable Federal, State, and local health, safety, and civil rights laws.

“(v) It shall ensure that the tutorial assistance provided under the contract is consistent with reading instruction and content used by the local educational agency.

“(vi) It shall contain an agreement by the provider that information regarding the identity of any child eligible for, or enrolled in the program, will not be publicly disclosed without the permission of a parent of the child.

“(vii) It shall include the terms of an agreement between the provider and the local educational agency with respect to the provider’s purchase and maintenance of adequate general liability insurance.

“(viii) It shall contain provisions with respect to the making of payments to the provider by the local educational agency.

“(G) The development of procedures under which the local educational agency carrying out this paragraph—

“(i) will ensure oversight of the quality and effectiveness of the tutorial assistance provided by each tutorial assistance provider that is selected for funding;

“(ii) will provide for the termination of contracts with ineffective and unsuccessful tutorial assistance providers (as determined by the local educational agency based upon the performance of the provider with respect to the goals and timetables contained in the contract between the agency and the provider under subparagraph (F));

“(iii) will provide to each parent of a child identified under subparagraph (D) who requests such information for the purpose of selecting a tutorial assistance provider for the child, in a comprehensible format, information with respect to the quality and effectiveness of the tutorial assistance referred to in clause (i);

“(iv) will ensure that each school identifying a child under subparagraph (D) will provide upon request, to a parent of the child, assistance in selecting, from among the tutorial assistance providers who are identified pursuant to subparagraph (B) the provider who is best able to meet the needs of the child;

“(v) will ensure that parents of a child receiving tutorial assistance pursuant to this section are informed of their child’s progress in the tutorial program; and

“(vi) will ensure that it does not disclose the name of any child who may be eligible for tutorial assistance pursuant to this section, the name of any parent of such a child, or any other personally identifiable information about such a parent or child, to any tutorial assistance provider (excluding the agency itself), without the prior written consent of such parent.

“SEC. 2257. NATIONAL EVALUATION.

“From funds reserved under section 2260(b)(1), the Secretary, through grants or contracts, shall conduct a national assessment of the programs under this part. In developing the criteria for the assessment, the Secretary shall receive recommendations from the peer review panel convened under section 2253(c)(2).

“SEC. 2258. INFORMATION DISSEMINATION.

“(a) IN GENERAL.—From funds reserved under section 2260(b)(2), the National Institute for Literacy shall disseminate information on scientifically based reading re-search and information on subgrantee projects under section 2255 or 2256 that have proven effective. At a minimum, the institute shall disseminate such information to all recipients of Federal financial assistance under titles I and VII of this Act, the Head Start Act, the Individuals with Disabilities Education Act, and the Adult Education and Family Literacy Act.

“(b) COORDINATION.—In carrying out this section, the National Institute for Literacy—

“(1) shall use, to the extent practicable, information networks developed and maintained through other public and private persons, including the Secretary, the National Center for Family Literacy, and the Readline Program;

“(2) shall work in conjunction with any panel convened by the National Institute of Child Health and Human Development and the Secretary and any panel convened by the Office of Educational Research and Improvement to assess the current status of research based knowledge on reading development, including the effectiveness of various approaches to teaching children to read, with respect to determining the criteria by which the National Institute for Literacy judges scientifically based reading research and the design of strategies to disseminate such information; and

“(3) may assist any State educational agency selected to receive a grant under section 2253, and that requests such assistance—

“(A) in determining whether applications submitted under section 2253 meet the requirements of this title relating to scientifically based reading research; and

“(B) in the development of subgrant application forms.

“SEC. 2259. STATE EVALUATIONS; PERFORMANCE REPORTS.

“(a) STATE EVALUATIONS.—

“(1) IN GENERAL.—Each State educational agency that receives a grant under section 2253 shall evaluate the success of the agency’s subgrantees in meeting the purposes of this part. At a minimum, the evaluation shall measure the extent to which students who are the intended beneficiaries of the subgrants made by the agency have improved their reading skills.

“(2) CONTRACT.—A State educational agency shall carry out the evaluation under this subsection by entering into a contract with an entity that conducts scientifically based reading research, under which contract the entity will perform the evaluation.

“(3) SUBMISSION.—A State educational agency shall submit the findings from the evaluation under this subsection to the Secretary. The Secretary shall submit a summary of the findings from the evaluations under this subsection and the national assessment conducted under section 2257 to the appropriate committees of the Congress, including the Committee on Education and the Workforce of the House of Representatives and the Committee on Labor and Human Resources of the Senate.

“(b) PERFORMANCE REPORTS.—A State educational agency that receives a grant under section 2253 shall submit performance reports to the Secretary pursuant to a schedule to be determined by the Secretary, but not more frequently than annually. Such reports shall include—

“(1) with respect to subgrants under section 2255, the program or programs of reading instruction, based on scientifically based reading research, selected by subgrantees;

“(2) the results of use of the evaluation referred to in section 2253(b)(2)(E)(iv); and

“(3) a description of the subgrantees receiving funds under this part.

“SEC. 2260. AUTHORIZATIONS OF APPROPRIATIONS; RESERVATIONS FROM APPROPRIATIONS; SUNSET.

“(a) AUTHORIZATIONS.—

“(1) FY 1999.—There are authorized to be appropriated to carry out this part and section 1202(c) \$260,000,000 for fiscal year 1999.

“(2) FY 2000.—There are authorized to be appropriated to carry out this part and section 1202(c) \$260,000,000 for fiscal year 2000.

“(b) RESERVATIONS.—From each of the amounts appropriated under subsection (a) for a fiscal year, the Secretary—

“(1) shall reserve 1.5 percent to carry out section 2257(a);

“(2) shall reserve \$5,000,000 to carry out section 2258; and

“(3) shall reserve \$10,000,000 to carry out section 1202(c).

“(c) SUNSET.—Notwithstanding section 422(a) of the General Education Provisions Act, this part is not subject to extension under such section.”.

(b) CONFORMING AMENDMENTS.—

(1) AUTHORIZATION OF APPROPRIATIONS.—Section 2003 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6603) is amended—

(A) in subsection (a), by striking “title,” and inserting “title (other than part C),”; and

(B) in subsection (b)(3), by striking “part C” and inserting “part D”.

(2) PRIORITY FOR PROFESSIONAL DEVELOPMENT IN MATHEMATICS AND SCIENCE.—Section 2206 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6646) is amended by inserting “(other than part C)” after “for this title” each place such term appears.

(3) REPORTING AND ACCOUNTABILITY.—Section 2401 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6701) is amended by striking “under this part” each place such term appears and inserting “under this title (other than part C)”.

(4) DEFINITIONS.—Section 2402 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6701) is amended by striking “this part— ” and inserting “this title (other than part C)—”.

(5) GENERAL DEFINITIONS.—Section 14101(10)(C) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8801(10)(C)) is amended by striking “part C” and inserting “part D”.

(6) PARTICIPATION BY PRIVATE SCHOOL CHILDREN AND TEACHERS.—Section 14503(b)(1)(B) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8893(b)(1)(B)) is amended by striking “part C” and inserting “part D”.

6. General Instructions

Application Order

To compete for an award under this program competition, it is recommended that the completed application be organized in the following order and include the following parts:

Part I: Application for Federal Assistance (Standard Form 424 rev. 4-88).

This part of your application consists of the standard application face page on which you provide basic identifying information about the applicant and the application. Specific instructions for completing this form are located on the back of the form. Please note that the requirement for the employer identification number has been revised. Please indicate your D-U-N-S number. If you are unfamiliar with that number or how to obtain one, instructions are included in the package. Please include the e-mail address of the contact person, if available.

Part II: Budget Form and Information (Standard Form 524).

This part of the application contains information about the Federal funding you are requesting. Remember to provide complete budget information for each year of the proposed budget. Specific instructions for completing the budget forms and information immediately follow the form. *Remember to include an itemized budget breakdown by project year and any explanations or comments deemed necessary.*

Part III: Program Narrative

The program narrative is limited to no more than 100 pages, single-sided only. Any pages beyond the 100 pages of description will be discarded. Type must be single-spaced and in a type size that enhances readability (11 or 12 point). Prepare the program narrative in accordance with the application requirements set forth in the Reading Excellence Act legislation's selection criteria, followed by the competitive priority.

Part IV: Compliance with General Education Provisions Act (GEPA), Section 427

Include a section that describes how the program narrative (Part III) describes its compliance with GEPA's Section 427 – equitable access to and participation in federally-assisted programs for students, teachers, and other program beneficiaries with special needs.

Part V: Assurances and Certifications

Be certain to include all assurances and certifications, and sign each form in the appropriate place. The assurances and certifications included in this application package are:

- Assurances – Non-Construction programs (SF 424-B)
- Certifications Regarding Lobbying; Debarment; Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
- Disclosure of Lobbying Activities, if needed (Form LLL)

NO GRANT MAY BE AWARDED UNLESS A COMPLETE APPLICATION HAS BEEN RECEIVED.

It is preferred that applications are submitted electronically with all documents requiring original signatures forwarded to the Application Control Center no later than the closing date.

7. Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0616. Expiration date: 09/30/1999.

The time required to complete this information collection is estimated to average 40 hours (forty hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.)

If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joseph Conaty, U.S. Department of Education, 400 Maryland Avenue, SW, room 5C-141, Washington DC 20202-6200.

8. Application Cover Page (ED 424)

Application for Federal Assistance, U.S. Department of Education (ED form 424)

- Instructions for filling out ED form 424
- Protection of Human Subjects in Research (Attachment to ED 424)

Note: Copies of the standard forms shown from this page forward are available at the U.S. Department of Education's website at <http://ocfo.ed.gov/grntinfo/appforms.htm>.

Application for Federal Education Assistance



Note: If available, please provide application package on diskette and specify the file format

U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 06/30/2001

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number: | | | | | | | | | |

3. Catalog of Federal Domestic Assistance #: **84.338**

4. Project Director: _____

Address: _____

City _____ State _____ Zipcode + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

6. Type of Applicant (Enter appropriate letter in the box.) | | | | |

A - State
B - County
C - Municipal
D - Township
E - Interstate
F - Intermunicipal
G - Special District
H - Independent School District
I - Public College or University
J - Private, Non-Profit College or University
K - Indian Tribe
L - Individual
M - Private, Profit-Making Organization
N - Other (Specify): _____

5. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

7. Novice Applicant ☐ Yes ☐ No

Application Information

8. Type of Submission:

PreApplication Application
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

9. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____

☐ No (If "No," check appropriate box below.)
☐ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.

10. Proposed Project Dates: ____/____/____

Start Date: End Date:

11. Are any research activities involving human subjects planned at any time during the proposed project period? ☐ Yes ☐ No

a. If "Yes," Exemption(s) #: b. Assurance of Compliance #:

_____ or _____

c. IRB approval date: _____ Full IRB or _____ Expedited Review

12. Descriptive Title of Applicant's Project:

Estimated Funding

13 a. Federal \$ _____ . 00
b. Applicant \$ _____ . 00
c. State \$ _____ . 00
d. Local \$ _____ . 00
e. Other \$ _____ . 00
f. Program Income \$ _____ . 00
g. TOTAL \$ _____ . 00

Authorized Representative Information

14. To the best of my knowledge and belief, all data in this preapplication/ application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative

b. Title:

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at this URL: <http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
3. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
4. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
5. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
6. **Type of Applicant.** Enter the appropriate letter in the box provided.
7. **Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
8. **Type of Submission.** Self-explanatory.
9. **Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
10. **Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
11. **Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." **The remaining parts of item 11 are then not applicable.**

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. **Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.**

If some or all of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an "Item 11. Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 11c. If your application is recommended/ selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter "None" in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

12. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
13. **Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.
14. **Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research (Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application “Yes” and designated exemptions in 11a, **(all research activities are exempt)**, provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under **II.B. “Exemptions,”** below. The Narrative must be succinct. **Provide this information in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

If you marked “Yes” to item 11 on the face page, and designated no exemptions from the regulations **(some or all of the research activities are nonexempt)**, address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an **“Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions. A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s)

without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.htm>.

9. Budget Information, Non-Construction Programs (ED 524)

- **Budget Information: Non-Construction Programs (ED form 524)**
- **Instructions for filling out ED form 524**



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control No. 1880-0538

Expiration Date: 10/31/99

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

Instructions for ED Form 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary: U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

10. Program Narrative

Introduction

The Reading Excellence Program provides financial incentives to use research based approaches to improve children's ability to read. Grants will be awarded competitively to SEAs to:

1. Provide children with the readiness skills and support they need in early childhood to learn to read once they enter school;
2. Teach every child to read by the end of the third grade;
3. Improve the instructional practices of teachers and, as appropriate, other instructional staff in elementary schools;
4. Expand the number of high quality family literacy programs; and
5. Provide additional support for students having difficulty making the transition from kindergarten to the first grade, particularly students experiencing difficulty with reading skills.

Funds will be provided to support programs that include activities grounded upon scientifically based reading research. The term scientifically based reading research means the application of rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties. The term includes research that employs systematic, empirical methods that draw on observation or experiment; involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn; relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

The Department will award funds under section 2253, Reading and Literacy Grants to State Educational Agencies (SEAs). In fiscal year 1999, Congress appropriated \$241.1 million for state grants under this program. SEAs in each of the 50 states, the District of Columbia, and Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible applicants. Each SEA may receive only one grant.

SEAs receiving grants must award subgrants to local educational agencies under sections 2255 (Local Reading Improvement Subgrants) and 2256 (Tutorial Assistance Subgrants).

Please refer to the *Non-Regulatory Guidance for State Applications* for further information.

Each SEA receiving a grant may use up to 5 percent of the funds for administrative costs (excluding those associated with Section 2256), of which no more than 2 percent may be used to carry out the evaluation and reporting requirements of Section 2259. SEAs may use up to 15 percent of the funds made available under the grant to solicit applications for, award, and oversee the performance of the Section 2256 Tutorial Assistance Subgrant(s).

The requirements for awarding grants under sections 2255 and 2256 are as follows:

Section 2255: Local Reading Improvement Subgrants

The purpose of section 2255 is to provide support to local educational agencies (LEAs) for the selection and implementation of one or more programs of reading instruction. Such programs must have been developed using scientifically based reading research.

A state educational agency that receives a grant under Section 2253 shall make subgrants, on a competitive basis, to LEAs that either:

- A. Have at least one school that is identified for school improvement under section 1116(c) of the Elementary and Secondary Education Act in the geographic area served by the agency;
- B. Have the largest or second largest, number of children who are counted under section 1124(c) (basic grants to local educational agencies) of the Elementary and Secondary Education Act, in comparison to all other local educational agencies in the State; or
- C. Have the highest or second highest school-age child poverty rate, in comparison to all other local educational agencies in the state.

Each subgrant must be large enough to enable the subgrant recipient to operate a program for a 2-year period and may not be revoked or terminated on the grounds that a school ceases, during the grant period, to meet requirements A, B, or C above.

An SEA must award subgrants to eligible LEAs on a competitive basis. In order to best address the intent of the legislation, i.e., to improve students' ability to read through the use of scientifically based programs, an SEA should develop selection criteria that distinguish among applicants based upon the extent to which they will select and implement high quality reading programs based upon scientifically based reading research. Applications from LEAs must meet all requirements of Section 2255(b) of the Act. The application must:

- 1. Describe how the LEA will work with schools to select and implement reading instruction programs developed using scientifically based reading research to improve reading instruction by all academic teachers for all children in each of the schools selected by the agency and, where appropriate, for their parents.
- 2. Include an assurance that the LEA will (1) carry out professional development for the classroom teachers and other instructional staff on the teaching of reading based on scientifically based reading research; (2) provide family literacy services based on programs such as the Even Start family literacy model (authorized under part B of Title I), to enable parents to be their child's first and most important teacher; (3) carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and (4) use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during non-instructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading.
- 3. Describe how applicants will ensure that funds received through this grant and funds available for reading instruction for kindergarten through grade 6 from other appropriate sources are effectively coordinated, and, where appropriate, integrated, in order to improve existing activities in the areas of reading instruction, professional development, program improvement, parental involvement, technical assistance, and other activities that can help meet the purposes of this part.
- 4. Describe, if appropriate, how parents, tutors, and early childhood education providers will be assisted by, and participate in, literacy-related activities receiving financial assistance under this part to enhance children's reading fluency.

5. Describe how the local educational agency provides instruction in reading to children with reading difficulties who are at risk of being referred to special education based on these difficulties. The LEA shall describe how services will be provided to children who have been evaluated under section 614 of the Individuals with Disabilities Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of such Act, have not been identified as being a child with a disability (as defined in section 602 of such Act). Applications must also include a description of how the LEA will promote reading and library programs that provide access to engaging reading material.
6. Applications also must include an assurance that the LEA will make available to parents information regarding the professional qualifications of classroom teachers to provide instruction in reading.

Funds must be used for activities specified in Section 2255(d)(1). These activities include securing technical and other assistance, providing professional development activities to teachers and other instructional staff (including training of tutors); promoting reading and library programs that provide access to engaging reading material; providing voluntary training to parents on how to help their children with school work, carrying out family literacy services based on programs such as the Even Start family literacy model; providing instruction for parents and others who volunteer to be reading tutors; programs to assist those kindergarten students who are not ready for the transition to first grade; providing additional support for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading; providing instruction in reading to children with reading difficulties who are at risk of being referred to special education based on these difficulties; and providing coordination of reading, library, and literacy programs within the local educational agency to avoid duplication and increase the effectiveness of reading, library, and literacy activities.

Section 2256: Tutorial Assistance Subgrants

The purpose of the Section 2256 Tutorial Assistance Subgrants is to provide tutorial assistance in reading, using instructional practices based on scientifically based reading research. Tutoring programs can be before school, after school, on weekends, or during the summer. Services are provided to children who have difficulty reading. Instructional practices must be based on scientifically based reading research.

Each SEA receiving a subgrant under Section 2253 must make at least one subgrant under Section 2256. The subgrant(s) must be awarded to on a competitive basis to:

- A. Local educational agencies that have at least one school in the geographic area served by the agency that is located in an area designated as an empowerment zone under part I of sub-chapter U of chapter 1 of the Internal Revenue Code of 1986; or is located in an area designated as an enterprise community under the same part;
- B. Local educational agencies that have at least one school that is identified for school improvement under section 1116(c) of ESEA in the geographic area served by the agency;
- C. Local educational agencies with the largest or second largest number of children who are counted under section 1124(c) of ESEA, in comparison to all other local educational agencies in the State; or
- D. Local educational agencies with the highest or second highest school-age child poverty rate in comparison to all other local educational agencies in the State.

SEAs must award subgrants *competitively*, and SEAs should develop application procedures that allow them to distinguish among applicants based on the likelihood that proposed activities will improve students' reading ability. Subgrantees must develop criteria for selecting and implementing programs as described in Section 2256 of the Act. If no local educational agency within the State submits an application to receive a subgrant under this section within the 6 month period beginning on the date the SEA notified the local educational agencies that subgrants were available, the SEA may use the funds reserved for Local Reading Improvement subgrants after fulfilling the following condition. To do so, the SEA must certify to the Secretary that:

1. No Tutorial Assistance Subgrant (TAS) applications were received,
2. The eligible LEAs properly provided public notice, and
3. The LEAs satisfactorily demonstrated that no qualified research based provider within their jurisdiction asked them to submit an application.

If no eligible LEA submits an application for a TAS and the SEA cannot make the above certifications, the SEA cannot use the reserved TAS funding for Local Reading Improvement grants (LRIs).

Instructions

A State educational agency that wants to receive a Reading Excellence Act grant must submit an application to the Secretary by **May 7, 1999**. The application must contain the following components:

- A. An assurance that the Governor of the State, in consultation with the State educational agency, has established a reading and literacy partnership described in subsection (d) of the Reading Excellence Act and a description of:
 - (i) how the reading and literacy partnership assisted in the development of the State plan;
 - (ii) will be involved in advising on the selection of local reading improvement subgrantees under section 2255 and tutorial assistance subgrants under section 2256; and
 - (iii) will assist in the oversight and evaluation of such subgrantees.
- B. A description of the following:
 - (i) How the SEA will ensure that professional development activities related to reading instruction and provided under this part are coordinated with other State and local level funds and used effectively to improve instructional practices for reading and based on scientifically based reading research;
 - (ii) How the activities assisted under this part will address the needs of teachers and other instructional staff, and will effectively teach students to read, in schools receiving assistance under section 2255 and 2256;
 - (iii) The extent to which the activities will prepare teachers in all the major components of reading instruction (including phonemic awareness, systematic phonics, fluency, and reading comprehension);
 - (iv) How the SEA will use technology to enhance reading and literacy professional development activities for teachers, as appropriate;
 - (v) How parents can participate in literacy-related activities assisted under this part to enhance their children's reading;

- (vi) How subgrants made by the SEA under sections 2255 and 2256 will meet the requirements of this part, including how the SEA will ensure that subgrantees will use practices based on scientifically based reading research;
 - (vii) How the SEA will, to the extent practicable, make grants to subgrantees in both rural and urban areas;
 - (viii) The process that the state used to establish the reading and literacy partnership described in section 2253(d) of the REA.
- C. An assurance that each local educational agency to which the SEA makes a subgrant:
- (i) will provide professional development for the classroom teachers and other appropriate instructional staff on the teaching of reading based on scientifically based reading research;
 - (ii) will provide family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child's first and most important teacher;
 - (iii) will carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and
 - (iv) will use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during noninstructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading.
- D. An assurance that instruction in reading will be provided to children with reading difficulties who:
- (i) are at risk of being referred to special education based on these difficulties; or
 - (ii) have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act).
- E. A description of how the State educational agency:
- (i) will build on, and promote coordination among, literacy programs in the state (including federally funded programs such as the Adult Education and Family Literacy Act and the Individuals with Disabilities Education Act), in order to increase the effectiveness of the programs in improving reading for adults and children and to avoid duplication of the efforts of the programs;
 - (ii) will promote reading and library programs that provide access to engaging reading material;
 - (iii) will make local educational agencies described in sections 2255(a)(1) and 2256(a)(1) aware of the availability of subgrants under sections 2255 and 2256; and
 - (iv) will assess and evaluate, on a regular basis, local educational agency activities assisted under this part, with respect to whether they have been effective in achieving the purposes of this part.
- F. A description of the evaluation instrument the SEA will use for purposes of the assessments and evaluations under section 2253(b)(2)(E)(iv).

States must include in their application (1) a copy of their proposed LEA subgrant application and (2) a description of the proposed review process, including review criteria. The federal review panel will need sufficient information about how states plan to select applicants to allow them to ensure that the purposes of the REA will be met – e.g., that states have implemented procedures to ensure that successful LEAs will implement high quality programs. Information on required elements of the LEA subgrant applications are contained in Section 2255(b).

The Department will award funds for this program under Section 2253 of the Reading Excellence Act. Congress appropriated \$241,100,000 for grants under Section 2253 in FY 1999.

Applications may be submitted electronically, by mail or hand delivered. The preferred method is by electronic transfer. All applications must be received by the closing date.

Selection Criteria

Under 34 CFR 75.210, the Secretary has chosen the following criteria to evaluate an application . The maximum possible score for each criterion is indicated in parentheses with the criterion. The secretary awards up to 100 points for all criteria.

(a) *Significance* (10 points)

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

(b) *Quality of project design* (30 points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- (i) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.
- (ii) The extent to which the proposed project design reflects up-to-date knowledge from research and effective practice.
- (iii) The extent to which the proposed project is based upon a specific research design and the quality and appropriateness of that design, including scientific rigor of the studies involved.
- (iv) The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and support rigorous academic standards for students.
- (v) The extent to which the proposed project encourages parental involvement.

(c) *Quality of project service* (35 points)

The Secretary considers the quality of the services to be provided by the proposed project.

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible

project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers one or more of the following:

- (i) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
- (ii) The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of technology, as appropriate, and the leveraging of non-project resources.
- (iii) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.
- (iv) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.
- (v) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(d) *Adequacy of resources* (10 points)

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(e) *Quality of the management plan* (5 points)

The Secretary considers the quality of the management plan of the proposed project. In determining the quality of the management plan of the proposed project, the Secretary considers how the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate

(f) *Quality of project evaluation* (10 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

- (i) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- (ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Competitive Priority

Section 2253(c)(2)(c) of the Reading Excellence Act requires that priority shall be given to applications from SEAs whose states have modified, are modifying, or provide an assurance that they will modify within 18 months after receiving an REA grant the SEA's elementary school teacher certification requirements. The modification may increase the training and the methods of teaching reading required for certification as an elementary school teacher to reflect scientifically based reading research. However, nothing in the Act shall be construed to establish a national system of teacher certification.

Under 34 CFR 75.105(b)(2)(iv) and (c)(2), respectively, the Secretary is not required to seek public comment on a specific priority set out in the statute and can implement that priority as a competitive preference. The Secretary will award ten (10) additional points for applicants that meet the REA competitive priority.

Absolute Priority

Under 34 CFR 75.105(c)(3) of the Department's General Administrative Regulations, the Secretary has the authority to establish an absolute priority for applications under programs administered by the Department. For all funds to be awarded under this competition, the Secretary establishes an absolute priority to applicants that propose projects that exclusively fund, at the subgrant level, activities to improve elementary reading instruction and related early childhood, professional development, family literacy, and tutorial assistance activities. To qualify for this priority, States could not fund, at the subgrant level, any activities for middle schools or high schools. Under this competition, the Secretary will consider for funding only those applications that meet this absolute priority.

11. Notice: General Education Provisions Act (GEPA), Section 427: Equitable Access and Participation

Notice To All Applicants

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program.

ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651.

OMB Control No. 1801-0004 (Exp. 8/31/2001)

12. Assurances: Non-Construction Programs (SF 424B)

OMB Approval No. 0348-0040

Assurances: Non-Construction Programs

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §§276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L.93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official	Title	
Applicant Organization		Date Submitted

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Standard Form 424 B (4-88) Prescribed by OMB Circular A-102

13. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program

approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013

14. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions (ED 80-0014)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion — Lower Tier Covered Transactions**

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV 12/88), which is obsolete)

15. Disclosure of Lobbying Activities (Form LLL)

OMB 0348-0046

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See next page for public burden disclosure)

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	3. Report Type: a. initial filing b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: ____ Prime ____ Subawardee Tier____, if Known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(If individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(Last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

16. Notice: Necessity of Meeting Deadlines

IMPORTANT NOTICE

To Prospective Participants in U.S. Department of Education Contract and Grant Programs

Grants

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. **Prospective applicants can avoid disappointment if they understand that: failure to meet a deadline will mean that an applicant will be rejected without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.). The instructions in the Federal Register must be followed exactly. **Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.** Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

Contracts

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation. Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

17. Application Contents Checklist

Area	Information to be included	Checklist
Cover page	SF 424	
Budget form	ED Form 524 Itemized budget & other budget information	
SEC. 2253(b)(2)(A)	The application must contain an assurance that the Governor of the State, in consultation with the State educational agency, has established the required reading and literacy partnership. The application must also include a description of how such partnership <ul style="list-style-type: none"> (i) assisted in the development of the State plan; (ii) will be involved in advising on the selection of Local Reading Improvement and Tutorial Assistance; and (iii) will assist in the oversight and evaluation of the subgrantees 	
SEC. 2253(b)(2)(B)	Each application must contain a description of the following: <ul style="list-style-type: none"> (i) How the State educational agency will ensure that professional development activities related to reading instruction and provided under this part are (a) coordinated with other State and local level funds and used effectively to improve instructional practices for reading and (b) based on scientifically based reading research. (ii) How the activities assisted under this part will address the needs of teachers and other instructional staff, and will effectively teach students to read. (iii) The extent to which the activities will prepare teachers in all the major components of reading instruction (including phonemic awareness, systematic phonics, fluency, and reading comprehension) (iv) How the State educational agency will use technology to enhance reading and literacy professional development activities for teachers, as appropriate. (v) How parents can participate in literacy-related activities assisted under this part to enhance their children's reading. (vi) How subgrants made by the State educational agency will meet the requirement of the law, including how the State educational agency will ensure that subgrantees will use practices based on scientifically based reading research. (vii) How the State educational agency will, to the extent practicable, make grants to subgrantees in both rural and urban areas. (viii) The process that the State used to establish the required reading and literacy partnership. 	
SEC. 2253(b)(2)(C)	Each application must contain an assurance that each local educational agency to which the State educational agency makes a subgrant— <ul style="list-style-type: none"> (i) Will provide professional development for the classroom teacher and other appropriate instructional staff on the teaching of reading based on scientifically based reading research. (ii) Will provide family literacy services based on programs such as the Even Start family literacy model authorized under part B of title I, to enable parents to be their child's first and most important teacher. (iii) Will carry out programs to assist those kindergarten students who are not 	

Area	Information to be included	Checklist
	<p>ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and</p> <p>(iv) will use supervised individuals (including tutors), who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during noninstructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in kindergarten through grade 3 who are experiencing difficulty reading.</p>	
SEC. 2253(b)(2)(D)	<p>Each application must contain an assurance that instruction in reading will be provided to children with reading difficulties who—</p> <p>(i) Are at risk of being referred to special education based on these difficulties; or</p> <p>(ii) Have been evaluated under section 614 of the Individuals with Disabilities Education Act but, in accordance with section 614(b)(5) of such Act, have not been identified as being a child with a disability (as defined in section 602 of the such Act).</p>	
SEC. 2253(b)(2)(E)	<p>Each application must contain a description of how the State educational agency will</p> <p>(i) build on, and promote coordination among, literacy programs in the State (including federally funded programs such as the Adult Education and Family Literacy Act and the Individuals with Disabilities Education Act), in order to increase--the effectiveness of the programs in improving reading for adults and children and to avoid duplication of the efforts of the programs;</p> <p>(ii) Will promote reading and library programs that provide access to engaging reading material;</p> <p>(iii) Will make eligible local educational agencies aware of the availability of Local Reading Improvement and Tutorial Assistance Subgrants; and</p> <p>(iv) Will assess and evaluate, on a regular basis, local educational agency activities supported by the Reading Excellence Act.</p>	
SEC. 2253(b)(2)(F)	<p>Each application must contain a description of the evaluation instrument the State educational agency will use for the required evaluation of the program.</p>	
Proposed subgranting process	<p>SEA must include:</p> <p>(i) A copy of the proposed LEA subgrant application</p> <p>(ii) A description of the SEA's review process, including selection criteria</p>	
GEPA	<p>Description of compliance with the General Education Provisions Act, Section 427</p>	
Assurances and certifications	<p>Assurance: Non-Construction Programs (SF424B)</p> <p>Certifications: Lobbying; Debarment; Suspension and Other Responsibility Matter; and Drug-Free Workplace Requirements (ED80-0013)</p> <p>If applicable: Certification regarding debarment, suspension, ineligibility, and voluntary exclusion— Lower tier covered transactions (ED 80-0014)</p> <p>If applicable: Disclosure of Lobbying activities (Form LLL)</p>	
Electronic submission/hardcopy	<p>Remember to send with a return request receipt.</p> <p>Hard copy forms: Did you send the forms with original signatures?</p> <p>Did you send the forms that require original signatures?</p>	